 <b>Independent Verification &amp; Validation Facility</b>	<b>Work Instruction for Publication/Presentation of Research Results</b>	<b>IVV 09-3-7</b> <b>Revision: Basic</b> <b>Effective Date:</b> <b>September 2003</b>
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Verify that this is the correct version before use.

APPROVAL SIGNATURES		DATE
Gregory Blaney (original signature on file)	QMS Management Representative	09/06/2003

REVISION HISTORY			
Rev. No.	Description of Change	Author	Effective Date
Basic	Initial Release	Lisa Montgomery	09/10/2003

REFERENCE DOCUMENTS	
Document Number	Document Title
IVV 16	Control of Quality Records
NASA Procedures and Guidelines (NPG) 2200.2A	Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information
IVV 09-3	Research Program
ITAR, 22 CFR 120-130	International Traffic in Arms Regulations
EAR, 15 CFR 730-744	Export Administration Regulations
GSFC Form 25-49	Exemption Checklist
NF 1676	NASA Scientific and Technical Document Availability Authorization (DAA)

CHECK THE MASTER LIST at <http://iso9000.ivv.nasa.gov/>  
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## **1.0 Purpose**

This work instruction provides requirements for the publication and/or the presentation of results of research conducted by or under agreement with the NASA Independent Verification and Validation (IV&V) Facility. This work instruction provides detail for IVV 09-3, Research Program. It is intended to be compliant with NASA Procedures and Guidelines 2200.2A, Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information.

## **2.0 Scope**

The general requirements within this work instruction apply to organizations that perform research in accordance with IVV 09-3, Research Program, where the IV&V Facility is responsible for the release of the research results. When the Research product is a scientific and technical publication, material for conference or workshop presentation, or is otherwise planned to be discussed in a public (including electronic) forum, these requirements are applicable. Research products are either generated from within the IV&V Facility or from outside the IV&V Facility. Both internal research products and external research products that are to be delivered to the IV&V Facility also fall within the scope of this work instruction.


## **3.0 Definitions and Acronyms**

### **3.1 Publish**

Any public release of Scientific and Technical Information (STI), including posting on the world wide web, publishing in journals, or oral presentation at conferences, society meetings and other professional gatherings.

### **3.2 NASA Scientific and Technical Information (STI)**

Collected set of facts, analyses, and conclusions resulting from scientific, technical, and related engineering research and development efforts, both basic and applied.

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### 3.3 Research Product


Products resulting from research, such as scientific and technical publications, data, research results, and associated system, hardware, and/or software prototypes.

### 3.4 PRA Status

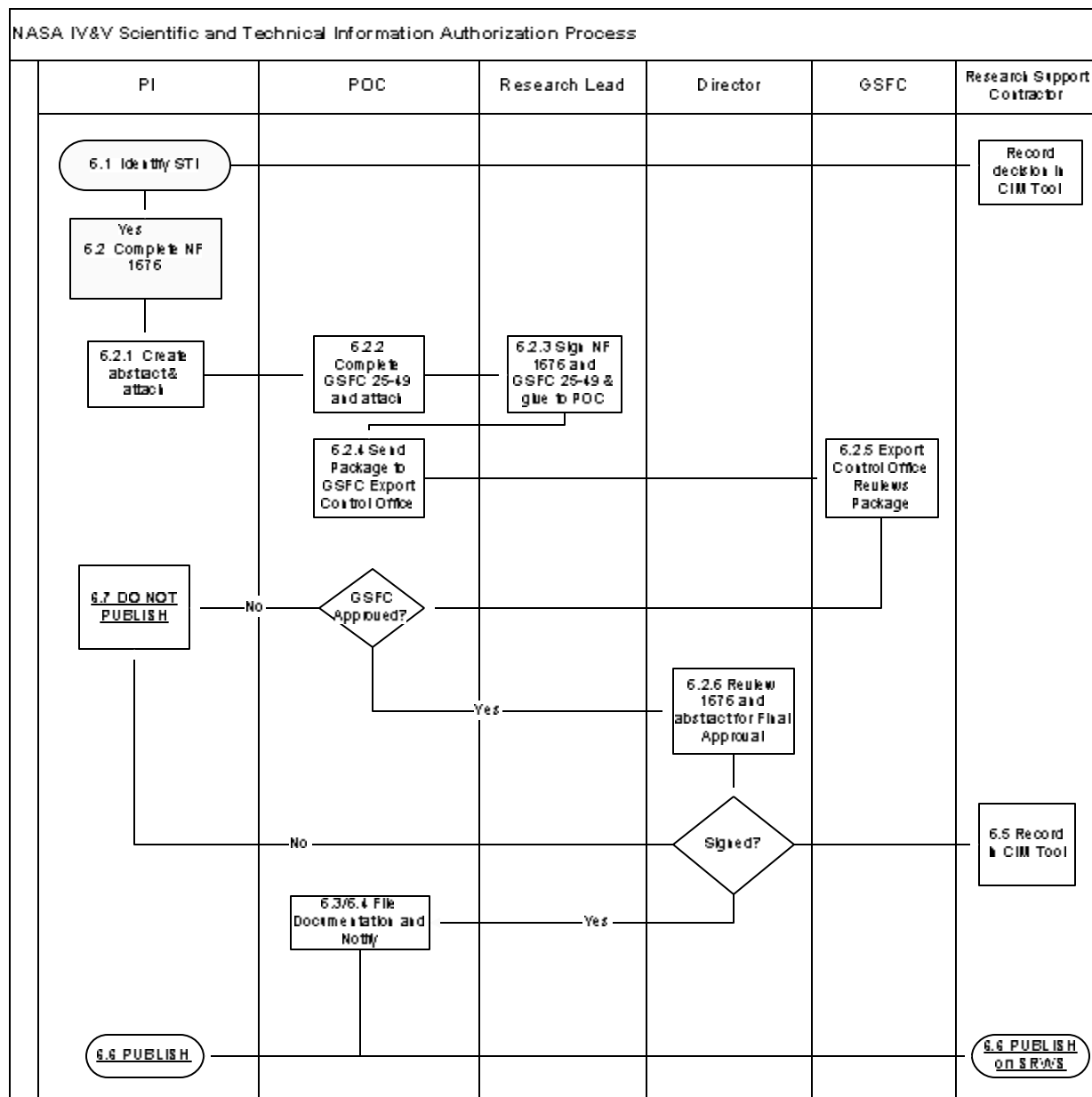
Public Release Authorization Status is a field in the Center Initiative Management (CIM) Tool which indicates both the intention regarding publication and the clearance status of a product.

### 3.5 Acronyms


CIM	Center Initiative Management
DAA	Document Availability Authorization
EAR	Export Administration Regulations
FRC	Federal Records Center
GSFC	Goddard Space Flight Center
ITAR	International Traffic in Arms Regulations
IV&V	Independent Verification and Validation
NF	NASA Form
NPG	NASA Procedures and Guidelines
PI	Principal Investigator
POC	Point Of Contact
PRA	Public Release Authorization
SARP	Software Assurance Research Program
SRWS	SARP Results Web Site
STI	Scientific and Technical Information

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#### 4.0 Flow Chart



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## 5.0 Responsibilities

### 5.1 Director (or his/her Designee)

Shall:

- Review and approve NASA Form 1676 “NASA Scientific and Technical Document Availability Authorization (DAA)” as the DAA Final Approval for all STI authored under the umbrella of the IV&V Facility that is planned for dissemination for private or public use.
- Retain the option of delegating responsibilities.

### 5.2 Research Lead


Shall:

- Know and comply with NPG 2200.2A, Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information.
- Know and comply with the guidelines and regulations contained in International Traffic in Arms Regulations (ITAR, 22 CFR 120-130) and Export Administration Regulations (EAR, 15 CFR 730-744).
- Review and recommend approval or disapproval of the content of all STI authored under the umbrella of the IV&V Facility that is planned for dissemination for private and public use.
- Review and approve or disapprove PIs recommendations on what to publish on the SRWS.

### 5.3 Point Of Contact

Shall:

- Ensure that all documents necessary to clear research for public release are prepared, signed, and processed.
- Ensure that all STI resulting from the research task is disseminated in compliance with this procedure.
- Review, approve, and sign NF 1676 as the “Project Officer/Technical Monitor.”

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- Submit NF 1676 to GSFC Export Control office, along with appropriate abstracts and other identifying information, including any applicable exemptions.
- Obtain the signature of the Director, for Final Approval of NF 1676.
- Be responsible for the filing of all Quality Records, as identified in section 8, regarding the publication and/or presentation of these research results, with the GSFC STI office and the IV&V Facility research project files.
- Notify the support contractor when a document or research initiative has received clearance and provide a copy of clearance documentation.

#### **5.4 Principal Investigator**


Shall:

- Obtain the signature of the POC as the Technical Monitor for NF 1676.
- Know and comply with NPG 2200.2A, Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information.
- Know and comply with the guidelines and regulations contained in International Traffic in Arms Regulations (ITAR, 22 CFR 120-130) and Export Administration Regulations (EAR, 15 CFR 730-744).
- Complete NF 1676 as appropriate for STI, including signatures.

#### **5.5 Research Support Contractor**

Shall:

- Update in the CIM Tool the PRA status of products regarding the intention to publish.
- Record in the CIM tool the clearance status of products by updating the PRA status.
- Publish appropriate cleared products on the SARPS Results Web Site.

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## 6.0 Procedure

The PI and POC submit NASA Form 1676 in order to acquire authorization to disseminate the material. The process for obtaining approval requires the following procedure:

### 6.1 Identify STI for Dissemination


In the research proposal, the Principal Investigator may specify which products he or she wishes to have published. The PI, POC, and Research Lead will make a decision whether to request a blanket authorization for the initiative or whether to request authorization for specific products only. Once this decision is made the research support contractor will update the initiative PRA status in the CIM Tool.

### 6.2 Complete NF 1676

- The PI fills out NASA Form 1676 in accordance with the instructions attached to each form
- The PI provides either a summary (abstract) or a completed copy of the STI, along with NF 1676, to the POC; this will be referred to as the package.
- The POC completes GSFC form 25-49 "Exemption Checklist," attaches to the package, and provides the package to the Research Lead.
- The Research Lead reviews and signs NASA Form 1676 and GSFC Form 25-49, and returns to the POC.
- The POC forwards the package to GSFC Export Administrator for authorization signature.
- GSFC Export Control reviews materials, indicates Approval or Not and returns to POC.
- Upon GSFC approval, the Director or Delegated Authority provides final review and approval for NF 1676.

### 6.3 File Documentation

Once the NF 1676 has received all the necessary signatures, the POC must place a copy of NF 1676 or the original NF 1676 in the research project file, and sends a copy to the GSFC Export Control Office.

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#### **6.4 Notify PI**

The POC notifies the PIs, any additional author(s), and the research support contractor of the results of NF1676. Notification can be performed via an email or formal letter. The avenue for notification must be documented and retained in the research project file.


#### **6.5 Record Results in the CIM Tool**

Once the POC notifies the research support contractor of the results of NF 1676, the research support contractor updates the CIM Tool to reflect the current PRA status of the initiative. PRA status reflects both the publication intention and the clearance status of the initiative.

#### **6.6 Publish**

- If the STI was cleared for public release, the material can be prepared for public dissemination. If it was not cleared for public release, the material must remain within the IV&V Facility. Only documents which have been approved for release are disseminated, all others are considered not cleared. The approved NF 1676 form must be on file before placing a document on the Internet.
- If the material is suitable for the STI Report Series, the POC must adhere to the procedures established by the STI Report Series. If the material is suitable for the SRWS, the POC must make a request to the Research Lead for the material to be added to the web site.
- A suitable cover page must be added recognizing the support of the IV&V Facility and any other funding source(s).
- Upon dissemination, the actual published materials do not have to be kept in the research project file. However, the IV&V Facility must retain an electronic copy in the Center Initiative Management (CIM) Tool.
- The PI or the POC must give the materials to be published to the research support contractor for publication on the SRWS.



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## 6.7 Do Not Publish

STI that was not cleared for public release is not to be posted, presented, or published and must remain within the IV&V Facility until form NF 1676 is completed.

## 7.0 Metrics

The following metrics are to be collected quarterly by the Research Lead or Delegated Persons to support the publication and presentation of research in line with current strategic planning. Each is to be tracked for trend analysis to understand where resources are being applied and with what results. The intent is to improve existing processes and continually revisit research focus strategies. The metrics will include:

- Time elapsed from authorization process initiation to completion
- Number of authorizations and rejections

## 8.0 Records

The following Quality Records shall be generated and managed in accordance with IVV 16, Control of Quality Records, when applicable in accordance with this Work Instruction for the Publication and/or Presentation of Research Results, IVV 09-6-1.

Document Name and Identification Number	User Responsible for Record Retention	Retention Requirement	Location
NF 1676, NASA Scientific and Technical Document Availability Authorization (DAA)	Research Lead and POC	Permanent	Project File
Documentation of status in the CIM Tool	Research Lead and POC	Permanent	CIM Tool
Research Product	Research Lead and POC	Permanent	CIM Tool